

GLOSSARY OF REFERENCES, ABBREVIATIONS, ACRONYMS, AND TERMS**References**

AFI 37-131	Freedom of Information Act Program
AFI 37-132	The Privacy Act program
AFI 90-201	Inspector General Activities
AFI 90-301	Inspector General Complaints
AFPD 90-2	Inspector General - The Inspection System
AFPD 90-3	Inspector General Complaints Program
AETC Sup 1, AFI 90-201	Inspector General Activities
CAPR 123-2	Complaints
CAPR 123-3	Civil Air Patrol Inspection Program

Abbreviations and Acronyms

AF	Air Force
AFAA	Air Force Audit Agency
AFI	Air Force Instruction
AFOSI	Air Force Office of Special Investigation
AFPD	Air Force Policy Directive
AFRC	Air Force Reserve Command
AFOATS	Air Force Reserve Officers Accessions and Training Schools
AFROTC	Air Force Reserve Officers Training Program
ANG	Air National Guard
ARC	Air Reserve Component
AU	Air University
CAP	Civil Air Patrol
CCC	Common-Core Criteria
CI	Compliance Inspection
CII	Compliance Inspection Item
CSAF	Chief of Staff, United States Air Force
DoD	Department of Defense
DoD IG	DOD, Inspector General
DRU	Direct Reporting Unit
EC	Equipment Custodian
EOT	Equal Opportunity and Treatment
FOA	Field Operating Agency
FOUO	For Official Use Only
FWA	Fraud, Waste, and Abuse
HQ AFIA	Headquarters, Air Force Inspection Agency
IG	Inspector General
IGDI	Inspector General Directed Investigation
IO	Investigating Officer
JA	Judge Advocate
LIMFAC	Limiting Factor
LO	Liaison Officer
LNCO	Liaison NCO
LR	Liaison Region
LR/CC	Liaison Region Commander
MAJCOM	Major Command
MOU	Memorandum of Understanding
NCO	Noncommissioned Officer
NGB	National Guard Bureau
OPR	Office of Primary Responsibility

OSD	Office of the Secretary of Defense
PIF	Personnel Information File
POC	Point of Contact
ROI	Report of Investigation
SAF	Secretary of the Air Force
SAF/IG	SAF, Inspector General
SAR	Search and Rescue
SAV	Staff Assistance Visit
SECAF	Secretary of the Air Force
SI	Self Inspection
SII	Special Interest Item
SROI	Summary Report of Investigation

Terms

Abuse--Intentional, wrongful, or improper use of Air Force resources. Examples include misuse of rank, position, or authority that causes the loss or misuse of resources such as tools, vehicles, computers, or copy machines.

Abuse of Authority—Abuse of authority is further defined as it relates to personnel. It is an *arbitrary or capricious* exercise of power by a military member or a federal official or employee that *adversely affects* the rights of any person or that result in personal gain or advantage to themselves.

Allegation--A declaration or assertion made without proof concerning an individual or a detrimental condition. A complete allegation normally includes who or what system the allegation is against, what was done wrong, and what standard it violated. Allegations must be worded in such a way that substantiation validates impropriety.

Appointing Authority--Any commander at wing level or above or other person (such as an IG) designated in writing to direct IG investigations.

Benchmark Candidate--The “best-of-the-best” processes observed and researched to date by the assessment team to be considered for emulation by other units.

Case File--A case file is a compilation of documents relevant to a complaint investigation. The case file includes:

- Report of Investigation (ROI)
- The Summary Report of Investigation (SROI)
- Any higher headquarters letters of explanation of command review and response
- For reprisal cases, include a chronology of case events and the Reprisal Evaluation Format
- All legal reviews
- MAJCOM, DRU, FOA, or NGB IG case reviews and approval memoranda indicating a command POC

Closure--An IG Investigation closes at the level, which provides the complainant a final response. The level, which closes a case, is required to complete an AF Form 102 and is required to maintain an office/case file until its disposition.

Complainant--The individual(s) making an allegation against an Air Force member, program, or organization. May be an individual including but not limited to military members, civilian employees, retirees, dependents, parents, spouses, or other third parties who decide to use the IG complaint system.

Complaint--An allegation or set of allegations that assert a recognizable wrong or violation of law, regulation, instruction, policy or rule or report of conditions detrimental to the operation, mission, or reputation of the Air Force.

Complaints Log--A tailored log for IG offices to record actions resulting from complaints, requests for assistance, or requests for information. Basic information should include requester's or complainant's name, date received, brief description of action desired, brief description of IG action taken, and closure date.

Commendable Item--A highly effective concept, technique, or management practice not observed in other units or significantly better than those found in other units.

Direct Response--When higher headquarters tasks a subordinate organization to directly respond to the complainant. The tasking organization must place the case file in *follow-up* status until the subordinate organization provides the response.

Disclosures--Identification and reporting of apparent FWA or mismanagement by individuals to IG personnel. Disclosures may be made in writing or by Hotline to the installation, NGB, MAJCOM, SAF, or DOD. They may also be allegations, which have been received by other organizations or agencies and accepted for action under this directive. This does not include information, findings, or discoveries gathered by auditors, inspectors, or investigators in the normal course of their duties. Also see the definition of *Complaint* and *Protected Disclosure*.

Excellent--Performance or operation exceeds mission requirements. Procedures and activities are carried out in a superior manner. Resources and programs are very efficiently managed and relatively free of deficiencies.

Finding--A significant deficiency that requires specific answers to HQ CAP-USAF on actions taken to correct the deficiency. In the report, a finding is identified by either a single asterisk (*) or, if potential for FWA exists, a double asterisk (**). Units must answer findings with enough detail to permit the HQ CAP and CAP-USAF staffs to determine the adequacy of corrective actions and provide assistance as required.

Follow-up Status--Constitutes a staging area for cases which are awaiting documentation of corrective action or awaiting a copy of subordinate level responses to the complainant or information.

Fraud--Any intentional deception designed to unlawfully deprive the Air Force of something of value or to secure for an individual, group, or corporation a benefit, privilege, allowance, or consideration to which he, she, or it is not entitled. Such practices include, but are not limited to:

- The offer, payment, acceptance of bribes or gratuities or evading or corrupting inspectors or other officials.
- Making false statements, submitting false claims or using false weights and measures.
- Deceit, either by suppressing the truth or misrepresenting material facts, or to deprive the Air Force of something of value.
- Adulterating or substituting materials. Falsifying records and books of accounts.
- Conspiring to carry out any of the above.

FWA Item--An actual or potential fraudulent, wasteful, or abusive practice involving government resources (funds, property, material, personnel, etc) as defined in AFI 90-301.

Higher Headquarters Item--Any observation or finding that requires action from a higher level to resolve. These items will be identified in the appropriate Tab of the assessment report as well as in a separate Higher Headquarters Section.

Improper Conduct--Conduct (acts and omissions) found to violate a directive, instruction, policy, regulation, rule, statute, or other standard applicable to the Air Force, without regard to knowledge, motive, or intent.

Inappropriate Conduct--Action a reasonable person would consider likely to erode confidence in the integrity of the Air Force, but which does not violate a directive, instruction, policy, regulation, rule, statute, or other standard applicable to the Air Force.

Inconclusive--Neither refutes nor substantiates the allegation(s). There was insufficient information available to make a determination whether the allegation was substantiated or not substantiated

Inspector General--Used to identify the individual (either military or civilian) at a center, installation, wing, or unit appointed according to this directive as the Inspector General for complaints and or inspections. All IGs are responsible to the commander.

Interrogatory--A list of written questions prepared by the IO for a witness to read and answer. The questions are revised and updated as facts are developed.

Investigation--A duly authorized, systematic, detailed examination to uncover facts and determine the truth of a matter. *Category I and Category II Investigations* are used: Category I Investigations are conducted by IG personnel in support of commander's desires. Category II Investigations determine the facts of a serious or complex matter. They require a written appointment of an Investigation Officer and a written Report of Investigation (ROI) supported by indexed exhibits, sworn verbatim testimony or sworn statements, and a Summary Report of Investigation (SROI). The Appointing Authority determines whether to require transcribed verbatim testimony or summaries of witness testimony.

Investigation Officer (IO)--Any commissioned officer, senior noncommissioned officer, or civil service employee holding an equivalent commissioned officer's grade appointed by competent authority to conduct an IG Category II Investigation. An IO is the personal representative of the Appointing Authority. The Appointing Authority conveys authority for the investigation to the IO in writing. This authority extends to all subordinate echelons of the command and requires the compliance and cooperation of subordinate commanders.

Legal Sufficiency--A review of the Report of Investigation to determine whether: the investigation complies with all applicable legal and administrative requirements; the investigation adequately addresses the matters under investigation; the preponderance of evidence supports the findings of the investigative officer; the conclusions and recommendations are consistent with the findings; and, if any errors or irregularities exist, and if so, their legal ramification, if any.

Limiting Factor (LIMFAC)--A factor or condition that, either temporarily or permanently, impedes mission accomplishment. Illustrative examples are transportation deficiencies, lack of in-place facilities, malpositioned forces or material, extreme climactic conditions, or distance.

Marginal--Performance or operation does not meet some mission requirements. Procedures and activities are not carried out in an efficient manner. Resources and programs are not efficiently managed. Deficiencies exist that impede or limit mission accomplishment.

Misconduct--Improper conduct undertaken (1) with the knowledge the conduct violates a standard, or with willful disregard for that possibility; (2) with the intention to harm another; or (3) for the purpose of personal profit, advantage, or gain. Gross negligence is misconduct under this definition; simple negligence is not.

Mismanagement--A collective term covering acts of waste and abuse, extravagance, careless, or needless expenditure of Air Force funds; the consumption or misuse of Air Force property or resources resulting from deficient practices, system controls, or decisions; or, the consumption or misuse of Air Force property or resources resulting from deficient practices, systems controls or decisions.

Nonanswerable Finding--A significant deficiency which was corrected during the assessment or which does not require tracking by HQ CAP or CAP-USAF. In the report, nonanswerable findings are preceded by a dash (-) instead of an asterisk.

Not Substantiated--A not substantiated finding results when the preponderance of evidence supports the conclusion that the alleged wrongdoing did not occur. The facts (from documentation and testimony) indicate the complainant was not wronged.

Observation--A minor deficiency documented to place emphasis on the need for resolution before it develops into a more serious problem, to provide crossfeed to other units or to act as an indicator of overall unit health.

Office File--An office file is a personal or FWA complaints file maintained at each IG level. This office file should include any documentation produced during the course of the case. See Attachment 1 to AFI 90-301 for an extensive list of example documentation.

Open Item--An answerable finding from a prior assessment in which the unit or higher headquarters' corrective actions are incomplete and HQ CAP-USAF/IG has not closed the item. Corrective action progress is evaluated and documented in the report. If corrective actions were complete, but not reported, and the inspector determined the problem or deficiency solved, the open item is closed, indicating that no further actions required. If corrective actions are incomplete or inadequate, the item remains open. Open items are not repeat write-ups.

Outstanding--Performance or operation far exceeds mission requirements. Procedures and activities are carried out in a far superior manner. Resources and programs are very efficiently managed and are of exceptional merit. Few, if any deficiencies exist.

Oversight--The watchful management or supervision of the implementation of policy performed by the agency responsible for development of that policy.

Personal Conference Period (PCP)--A specific period set aside to hear complaints during an inspection. These conference periods give personnel another avenue for making disclosures. Headquarters inspection teams hold the conference periods in conjunction with all unit assessments.

Preponderance of the Evidence--Means the greater weight of credible evidence. The weight of the evidence supporting a particular fact is not determined by the sheer number of witnesses or volume of evidentiary matter presented, but rather by that evidence which best accords with reason and probability.

Protected Disclosure (or Protected Communication)--A lawful communication in which a member of the Armed Forces communicates information the member reasonably believes evidences a violation of the law or regulation, including sexual harassment or unlawful discrimination, mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, when such communication is made to:

- a member of Congress or an Inspector General or
- any member of a DOD audit, inspection, investigation, or law enforcement organization or
- any person or organization designated pursuant to component regulations or other established administrative procedures to receive such communications. This includes: IGs, Air Force FWA monitors, Social Actions personnel, and designated individuals of a member's chain of command.

Protected disclosure also includes circumstances where the military member was preparing a lawful communication or complaint that was not actually delivered, where the member did not actually communicate or complain but was believed to have done so, or cooperated with or otherwise assisted an IG, Member of Congress, or a member of a DOD audit, inspection, investigation, or law enforcement organization by providing information that the military member reasonably believed evidenced wrongdoing.

Referral--A complaint, which after evaluation, is transferred to an organization or office of primary responsibility (OPR) outside the Air Force IG system.

Repeat Finding--A finding reported in the unit's previous IG inspection report or recent audit agency report, which was subsequently closed, which exists again during the current assessment. Repeat findings are normally answerable findings.

Reprisal--Taking or threatening to take an unfavorable personnel action or withholding or threatening to withhold a favorable personnel action from an individual for making or preparing a protected disclosure.

Satisfactory--Performance or operation meets mission requirements. Procedures and activities are carried out in an effective and competent manner. Resources and programs are efficiently managed. Minor deficiencies may exist but do not impede or limit mission accomplishment.

Self-Investigation--Investigating or directing the investigation into allegations pertaining to individuals who report directly to the Appointing Authority. It is critical to the integrity of the IG system to refrain from self-investigation or the appearance of such. In these situations, refer cases to the next higher command level for resolution.

Special Interest Item (SII)--The Air Force, AETC, and CAP-USAF IGs; the AETC and CAP-USAF Commanders or CAP Director; and ANG Director may designate as SIIs those areas or functions requiring particular assessment emphasis. SIIs will be identified by source, number, and expiration date (ANG may not specify expiration). A separate Tab summarizes the status of current SIIs. If an area covered by an SII receives a finding, a cross-reference will appear in the SII Tab.

Statement--A written or verbal declaration of events made to an investigating officer by a witness, subject or suspect. AF Form 1168, statement of Suspect/Witness/ Complainant, may be used to make a written statement. The IO and witness must sign the statement to certify validity.

Subject--An Air Force member, CAP member, or civilian employee against whom allegations of wrongdoing have been made and is the subject of an investigation.

Substantiated--A substantiated finding occurs when a preponderance of the evidence supports (more likely to have occurred than not occurred), the complainant's allegation or a wrong or violation of law, regulation, or Air Force policy or standards.

Substantiated Equal Opportunity and Treatment (EOT) Complaint--A complaint where the preponderance of the evidence (more likely to have occurred than not occurred), indicates disparate treatment based on race, color, age, religion, sex, national origin, or sexual harassment.

Summarized Testimony or Interview Statement--A written summary or witness testimony or interview statement prepared and certified by the Investigating Officer. It normally includes only those items directly relating to the matters under examination.

Suspect--An individual suspected of a criminal offense. Treat a person as a suspect when the facts and circumstances known at the time of the interview are sufficient to support a reasonable belief that the person to be interviewed may have committed a crime. Suspects must be read the Article 31 rights before interview.

Testimony (or Statement)--A solemn declaration, usually made orally by a witness, in response to a formal questioning. It may be recorded and summarized or transcribed verbatim.

- Sworn - obtained from a witness who has taken an oath or affirmation to tell the truth.
- Unsworn - obtained from a witness who has not taken an oath or affirmation to tell the truth.

Third Party Complaint--A complaint made on behalf of an individual against an Air Force member, program, or organization.

Transcribed Testimony (Verbatim)--A word-for-word transcript of recorded testimony, which is certified correct by the investigating officer or an appointed court reporter; this includes testimony taken under express confidentiality procedures. Complainants, subjects, and witnesses may review their transcribed testimony for accuracy. If material changes are made to transcribed testimony, the IO must have the individual sign and date his/her testimony, and may wish to identify those portions changed materially after the initial testimony was provided.

Unlawful Discrimination--Discrimination on the basis of color, national origin, race, religion, sex, or age (if the complainant is a civilian employee) that is not authorized by law or regulation.

Unsatisfactory--Performance or operation does not meet mission requirements. Procedures and activities are not carried out in an adequate manner. Resources and programs are not adequately managed. Significant deficiencies exist that preclude or seriously limit mission accomplishment or endanger personnel or resources.

Waste--The extravagant, careless, or needless expenditure of Air Force funds or consumption of Air Force property that results in deficient practices, system controls, or decisions.

Witness--Any individual, civilian or military, who is interviewed (or testifies) during the course of an IG case.